

Private Investors

ISA / JISA Application Form

This ISA Application Form is designed for UK domiciled private investors wishing to invest through a Threadneedle Stocks and Shares ISA and/or a Threadneedle Junior ISA into Threadneedle Funds.

Terms used in the Prospectus have the same meaning given to them in this Application Form.

This Application Form and the terms of the Prospectus apply to any orders you place from time to time in one of our funds through an ISA, but if there is any conflict between this Application Form and the Prospectus, the terms of the Prospectus will override all other terms. The Terms and Conditions relating to your orders will also apply.

ISA and JISA Eligibility

Are you eligible to invest in the Threadneedle Stocks and Shares ISA?

You can invest in the Threadneedle Stocks and Shares ISA if:

- you are 18 years of age or over;
- you have not subscribed to another stocks and shares ISA in the same year as your Threadneedle ISA application; and
- you are resident in the United Kingdom for tax purposes (or you have general earnings from overseas Crown employment or you are married to or in a civil partnership with someone who has earnings from overseas Crown employment (typically a serving member of the armed forces or a diplomat))

Are you applying for a Threadneedle Junior ISA on behalf of an eligible child?

A child is eligible for the Threadneedle Junior ISA if, when the application is made to us:

- he or she is under the age of 18;
- he or she was born on or after 3 January 2011 or is not entitled to a Child Trust Fund Account; and
- he or she is resident in the United Kingdom or is a UK Crown servant, is married to or in a civil partnership with a Crown servant or is a dependant of a Crown servant

Eligibility for the Threadneedle Property Authorised Investment Fund

Property Authorised Investment Funds are a type of tax-efficient property fund which benefits tax-exempt investors. For the majority of investors, at the time of going to print, Threadneedle Investment Services Limited (Threadneedle) believes that the PAIF may be the preferred option compared with the Threadneedle PAIF Feeder Fund. The Threadneedle PAIF Feeder Fund is primarily designed for large corporate investors and those investors who are not able to invest in the Threadneedle PAIF but who still wish to gain exposure to Columbia Threadneedle Investments' property expertise.

Not all types of investor are eligible or able to invest directly in a PAIF. In particular, a company or other body corporate is subject to a maximum holding limit of under 10% of a PAIF, whether held directly in its own name or via a third party (other than nominee companies holding units for non-Body Corporate investors). Please speak to your financial adviser if you require advice.

Please note that the Threadneedle PAIF Feeder Fund is not available through the Threadneedle Stocks and Shares ISA or the Threadneedle Junior ISA.

Which section is applicable to you?

All investors should complete the following:

- Section 1 (Investor details – Threadneedle Stocks and Shares ISA) or (Investor details – Threadneedle Junior ISA)
- Section 2 (Threadneedle Funds you want to invest in)
- Section 3 (How to invest)
- Section 4 (Your investment income)
- Section 7 (Declarations)

If you do not have a financial adviser, you must provide the information requested in section 5 (Client identification).

If you have a financial adviser, your financial adviser should complete section 6 (Financial advisers to complete).

Completing this form

Before completing this Application Form, please make sure you have read the current Key Investor Information Document (KIID) and/or non- UCITS retail scheme Key Investor Information Document (NURS-KII) for the Threadneedle Fund you are thinking of investing into. Please note that you will need to complete a new Application Form if you are an existing investor but wish to invest in a different Threadneedle Fund to the Threadneedle Fund you are already invested in. However, if you are an existing client and you only wish to top up your investment you do not need to complete this form again, and you can invest additional cash (up to the ISA limit) by contacting the Client Services Team, details of which are set out below. In order to ensure that we have up to date information about you, you may be asked to re-confirm some of the information you have provided to us in the past.

Anti-money laundering and client identification

We have a legal obligation to help prevent money laundering and terrorist financing by conducting client identification and verification checks when we create a new account for you and to ensure that the information we hold on file for you is up to date.

If you have a financial adviser, your verification checks can be conducted by them and they should then complete section 6 of this form before it is given to us.

If you are applying directly without a financial adviser you will need to complete section 5 (Client identification) for yourself so we can complete the necessary checks.

Please note that if we do not have the correct documentation to identify you when you sell your shares or units, future withdrawals will not be released until you provide the appropriate information to us.

How to contact us

Our Client Services Team will assist you with the purchase, switch/conversion or sale of shares or units in Threadneedle Funds and general administrative queries about dealing.

Notices, letters or other documents you want to send to the Client Services Team must be sent to:

Postal address: Threadneedle Investment Services Limited, PO Box 10033, Chelmsford, Essex, CM99 2AL Telephone (dealing & customer queries): 0800 953 0134

Email (enquiries): questions@service.columbiathreadneedle.com

Please note that calls may be recorded.

Please send your signed and completed ISA Application Form and client identification documents to us to the postal address set out above.

What to do if you have any questions

If you have any questions about the suitability of your investment, please speak to your financial adviser. Threadneedle Investment Services Limited does not give financial advice, but if you have any general queries about this Application Form, please call our Client Services Team on the free phone number 0800 953 0134.

SECTION 1

INVESTOR DETAILS – THREADNEEDLE STOCKS AND SHARES ISA											
Please complete in BLOCK LETTERS using INK											
The overall ISA subscription limit for the 2019/2020 tax year is £20,000. Any amount invested above the ISA limit will not carry the tax advantages of an ISA.											
Please note that the £20,000 ISA limit may be split between a Cash ISA and a Stocks and Shares ISA, however we only offer Stocks and Shares ISAs. Please refer to the Terms and Conditions for further information.											
Personal details – Individual investor											
Title (Mr, Mrs, Miss, Other)*											
First name*											
Surname*											
Permanent residential address*											
Postcode*											
Telephone											
Email address											
Date of birth*	dd / mm / yyyy										
National Insurance Number*	<table border="1"><tr><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr></table>										
Existing client reference											

*Please note that without this information we cannot process your application

INVESTOR DETAILS – THREADNEEDLE JUNIOR ISA	
Please complete in BLOCK LETTERS using INK	
The overall Junior ISA subscription limit for the 2019/2020 tax year is £4,368. Any amount invested above the Junior ISA limit will not carry the tax advantages of an ISA. Please refer to the Terms and Conditions for further information.	
Details of the applicant investing on behalf of the child (registered contact)	
Title (Mr, Mrs, Miss, Other)*	
First name*	
Surname*	
Permanent residential address*	
Postcode*	
Telephone*	
Mobile	
Email address	
Date of birth*	dd / mm / yyyy
Existing client reference	

I apply to open a Threadneedle Junior ISA for:Child's title*
(Mr, Miss, Other)*

First name*

Surname*

Permanent residential
address*

Postcode*

Child's date of birth*

dd / mm / yyyy

The child named above will be the beneficial owner of the account investments.

*Please note that without this information we cannot process your application

Applicant's contact details (if different from above)

Contact name

Address for correspondence:

Telephone

Mobile

Fax

Email address

Payment account details

Please provide your bank details below:

Account Holder:

Bank/Building Society name and branch address

Sort Code

Account No.

Building Society Ref. No

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SECTION 3

HOW TO INVEST	
Electronic payment	
You should make your payment to the following account:	
Client Money Receipts A/c: 16-50-50 - 53918127	
Sort Codes: 30-16-35 (BACS and Cheque - Lloyds) 16-50-50 (TT/CHAPs - Natwest)	
Cheque	
You should make your cheque payable to Threadneedle Investment Services Limited. It must be drawn on your own (or a joint) personal bank account. We cannot accept cheques from any other person's bank account. If you wish to pay by banker's draft or building society cheque, please ask them to print your name on the back of the cheque.	

Regular saver	
You can elect to be a regular saver (instead of investing in a single lump sum) by making monthly direct debit payments.	
Start date (Payments will be made on the first working day of each month)	mm / yyyy
You will need to enclose a cheque for your first payment. You will also need to complete your account details for future regular payments.	

The following minimum investments apply with respect to our regular saver facility:

- £2,000 lump sum payment by cheque for your first monthly subscription; and
- for subsequent monthly subscriptions by direct debit at a minimum of £100 per month

INSTRUCTION TO YOUR BANK OR BUILDING SOCIETY TO PAY BY DIRECT DEBITS	
DIRECT DEBIT FOR MONTHLY INVESTMENTS	
Please complete this Direct Debit so we can automatically collect your monthly investments from your bank account when payments are due.	
	
Please fill in the whole form in ink using BLOCK CAPITALS and send it to: Threadneedle Investment Services Ltd, PO BOX 10033, Chelmsford, CM99 2AL	
Name(s) of account holder(s):	Service User Number 2 4 7 3 2 9
<input type="text"/>	Reference <input type="text"/>
Bank or Building Society account No. <input type="text"/>	Instruction to your Bank or Building Society
Branch sort code <input type="text"/> (from the top right hand corner of your cheque)	Please pay Threadneedle Investment Services Ltd Direct Debits from the account detailed in this Instruction subject to the safeguards assured by the Direct Debit Guarantee. I understand that this Instruction may remain with Threadneedle Investment Services Ltd and, if so, details will be passed electronically to my Bank/Building Society.
Name and full postal address of your Bank or Building Society	Signature(s): <input type="text"/>
To: The Manager , Bank or Building Society:	Date: <input type="text"/>
Address:	
Postcode:	

SECTION 5

CLIENT IDENTIFICATION

We will require you to provide us with the documents below together with your completed form.

We have a legal obligation to help prevent money laundering and terrorist financing by conducting client identification and verification checks.

Please note that if we do not have the correct documentation to identify you when you sell your shares or units, future withdrawals will not be released until you provide the appropriate information to us.

Please send your completed form and any relevant client identification documents to our Client Services Team.

We require documentation from each of the following sections, one to confirm your name and one to confirm your address. These must be separate documents:

ID	Address	Certification of documents
<ul style="list-style-type: none"> – Current signed passport – Current signed UK/EEA photo card driving licence (a counterpart driving licence is NOT an acceptable document for AML purposes) – Current full UK driving licence (old version) – State pension documentation, benefits book or original notification letter from the Benefits Agency confirming the right to benefits. (dated within the last 12 months) – EEA Member state identity card – Inland Revenue Notifications / letters (Tax Assessment, Notice of Coding or Statement of Account) dated within the last tax year. Not P45 or P60 – Self-employed registration cards for construction industry (CIS3(partner), CIS4(P), CIS4(T), CIS5, CIS6) – Shotgun or Firearm certificate – Residence permit issued by the Home Office to EU Nationals 	<ul style="list-style-type: none"> – Recent utility bill (not mobile phone bill). Must be dated within the last 3 months – Local authority tax bill, rent card or tenancy agreement (valid for current year) – Solicitor / Lawyer letter confirming a house purchase or land registry confirmation – Bank or credit card statement showing address within 3 months, not printed from the internet – State pension documentation, benefits book or original notification letter from the Benefits Agency confirming the right to benefits dated within the last 12 months (where not used as proof of ID) – Inland Revenue Notifications / letters (Tax Assessment, Notice of Coding or Statement of Account) dated within the last tax year (where not used as proof of ID). Not P45 or P60. – Recent mortgage statement (dated within the last 12 months) 	<p>We can accept certification from the following list, where a non-family member:</p> <ul style="list-style-type: none"> – Bank or building society official – Accountant – Doctor – Local Government official / councillor – Dentist – Police officer – Teacher / lecturer – Solicitor / Barrister – Notary public / Public Officer – Embassy/ Consulate official – Director of limited company – Justice of the peace – MP – General/Colonel – Post Office Certification Service – Financial adviser or other agent

It is strongly recommended that you do not send the original items of valuable personal identity such as passports, driving licences or benefits books. Instead, please arrange for copy documents to be certified.

All certification must be clear and visible on the document, and wherever possible, should appear on the front page. Certification should clearly bear the words “certified a true copy of the original”.

The certifier must sign and print their name, including their designation and full address, and preferably their contact number. The certifier must also add the date of their certification.

We will accept documents that have not been certified on every page, e.g. legal documents, providing they are clear and complete.

Bank Verification

We are able to pay redemption proceeds direct to your bank account upon receipt of correctly completed forms and satisfactory verification. Proceeds will be released 4 working days after the trade date. If you wish to have the proceeds paid by BACS, we require one of the following documents:

- A voided cheque
- An original bank statement (must be dated within the last 3 months)
- A giro or paying in slip for the bank account
- A letter from your bank confirming the bank details

The documents must relate to the bank account that you wish to have the proceeds paid into, which must be your own bank account.

SECTION 6

FINANCIAL ADVISERS TO COMPLETE (applicable only if you have a financial adviser)	
Financial adviser details	
Adviser's name (firm name)	
Threadneedle Agent code (if known)	
FCA Number	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
Client identification and account verification	
Type of Government-issued document (passport, driver licence):	
Reference/Serial number	
Issued by	
Date of issue	dd / mm / yyyy
Have you met the client in person? Yes <input type="checkbox"/> No <input type="checkbox"/>	
Type of additional verification document (utility bill, credit card statement, bank statement):	
Reference/Serial number	
Issued by	
Date of issue	dd / mm / yyyy
Disclosure requirement	
Would you like us to provide product disclosure?	Yes <input type="checkbox"/> No <input type="checkbox"/>
Is the client entitled to cancellation rights?	Yes <input type="checkbox"/> No <input type="checkbox"/>
Would you like us to send a hard copy of the contract note?	Yes <input type="checkbox"/> No <input type="checkbox"/>
Adviser signature block	
Date	dd / mm / yyyy

SECTION 7

By signing this Application Form, you will be agreeing to be bound by it, including the Terms and Conditions and the KIID/NURS-KII (as the case may be).

This Form will equally apply to any redemption or switching orders you place later on: please see the Terms and Conditions for more about redemption and switching.

Please check that the whole form has been completed and any information we have requested has been provided. If you don't sign below, if the form is incomplete, or if UK money laundering regulations require us to obtain more information, your application may be delayed or rejected.

Key Investor Information Document (KIID)/non-UCITS retail scheme Key Investor Information document (NURS-KII)

Before signing this form, you must carefully read the current KIID and/or NURS-KII (as the case may be) for the Threadneedle Funds you are investing in, as well as the Terms and Conditions attached to this form. Please also make sure you keep a copy of those documents and this Application Form (including the Terms and Conditions) for your records. If you don't understand any point please call our Client Services Team for further information.

General Declarations

I declare that:

- I am 18 years of age or over
- I have read the Terms and Conditions attached to this Application Form
- I have read the Target Market for the Threadneedle Fund I am investing in
- I have read the KIID/NURS-KII relevant to the Threadneedle Fund I am investing in
- The investments I am making using this Application Form belong to me and I agree to be bound by the terms of this Application Form and the Terms and Conditions
- I understand that Threadneedle Investment Services Limited may use an external agency to satisfy its UK money laundering requirements. The agency may record that an enquiry has been made
- I declare that the information provided on this Application Form is, to the best of my knowledge and belief, accurate and complete

Current Tax Year Investments

Declarations applicable to investors who are investing in a Threadneedle Stocks and Shares ISA for the current tax year

I declare that:

- all subscriptions made, and to be made, belong to me
- I have not subscribed and will not subscribe more than the overall subscription limit in total to a cash ISA, a stocks and shares ISA, and (from 6 April 2017) an innovative finance ISA, a Lifetime ISA in the same tax year
- I have not subscribed and will not subscribe to another stocks and shares ISA in the same tax year that I subscribe to this stocks and shares ISA
- I am resident in the United Kingdom for tax purposes or, if not so resident, either perform duties which, by virtue of Section 28 of Income Tax (Earnings & Pensions) Act 2003 (Crown employees serving overseas), are treated as being performed in the United Kingdom, or I am married to, or in a civil partnership with, a person who performs such duties. I will inform Threadneedle Investment Services Limited if I cease to be so resident or to perform such duties or be married to, or in a civil partnership with, a person who performs such duties
- I authorise Threadneedle Investment Services Limited to hold my cash subscription, ISA investments, interest, dividends and any other rights or proceeds in respect of those investments and any other cash and to make on my behalf any claims to relief from tax in respect of ISA investments

Declarations applicable to applicants who are investing in a Threadneedle Junior ISA

I declare that:

- I am the child or I have parental responsibility for the child;
- the child does not have a Child Trust Fund account;
- I will be the registered contact for the Threadneedle Junior ISA;
- the child is resident in the UK, or is a UK Crown servant, a dependant of a UK Crown servant or is married to/in a civil partnership with a UK Crown servant;
- I have not subscribed and will not subscribe to another Junior ISA of this type for this child;
- I am not aware that this child has another Junior ISA of this type;
- I am not aware of other Junior ISA subscriptions that will result in this child exceeding the annual limit;
- I will not knowingly make subscriptions to Junior ISAs for this child that will result in the subscription limit being exceeded;
- I authorise Threadneedle Investment Services Limited to hold the child's subscriptions, Junior ISA investments, interest, dividends and any other rights or proceeds in respect of those investments and cash, and make on the child's behalf any claims to relief from tax in respect of Junior ISA investments; and

Signature

	Signature	Name	Date
Applicant			dd / mm / yyyy

Privacy

We are committed to maintaining the personal data that you provide to us in line with data protection and data privacy legislation. The Privacy Statement contained in our Terms and Conditions gives more information about this and sets out the purposes for which your data may be used.

ISA Applicants and Registered Contacts we and other companies in our group may use your personal information to keep you informed about investment products and services that you may be interested in from time to time.

Please select if you would like to receive marketing communications by

Telephone/SMS	YES/NO
Email	YES/NO
Post	YES/NO

You have the right to change your marketing preferences at any time, please refer to the "How to contact us" section of this Form.

Note also that telephone calls from or to us may be recorded for monitoring or training purposes.

